



PATENT  
Docket No.: KEMP-004

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Group Art Unit: 3663

Examiner: Not Yet Available

Serial No.: 10/633,327

Filed: August 1, 2003

In re Application of: Fasham, et al.

For: SEMICONDUCTOR OPTICAL DEVICE ARRAYS

Certificate of Mailing

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail, in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on 11-18-03, Signed Carol Stanley  
Carol Stanley

**TRANSMITTAL LETTER**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Enclosed please find the following:


1. Information Disclosure Statement;
2. Form PTO-1449;
3. 6 References.

Please contact Applicant's attorney at the address, telephone or facsimile number if there are any matters whose resolution can be expedited thereby.

Dated: 18 Nov 2003

Sierra Patent Group, Ltd.  
P.O. Box 6149  
Stateline, NV 89449  
(775) 586-9500 Telephone  
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Respectfully submitted,  
Sierra Patent Group, Ltd.

  
William P. Wilbar  
Reg. No.: 43,265



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**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Each item of information listed in the attached FORM PTO-1449, for which a copy of each is attached, may be material to the examination of the above-identified application and is, therefore, submitted in compliance with the duty of disclosure defined in 37 CFR §§1.56, 1.97 and 1.98. The Examiner is requested to make these items of official record in this application.

This Information Disclosure Statement under 37 CFR §§1.56, 1.97 and 1.98 is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that any one or more of these items constitutes prior art.

II

This statement is filed pursuant to:

(X) 37 C.F.R. §1.97(b).

This information disclosure statement is filed either (1) within three months of the filing date of the national applications; (2) within three months of the date of entry of the national stage as set forth in 37 C.F.R. §1.491 in an international application; or (3) before the mailing date of a first office action on the merits, whichever event occurs last.

Accordingly, this information disclosure statement requires no fee and no certification.

( ) 37 C.F.R. §1.97(c).

This information disclosure statement is filed after the period specified in 37 C.F.R. §1.97(b), but before the mailing date of either (1) a final action under 37 C.F.R. §1.113 or (2) a notice of allowance under 37 C.F.R. §1.311.

Accordingly, this information disclosure statement requires either the fee specified in 37 C.F.R. § 1.17 (p) or a certification according to 37 C.F.R. §1.97(e).

( ) 37 C.F.R. §1.97(d).

This information disclosure statement is filed after the period specified in 37 C.F.R. §1.97(c).

Accordingly, this information disclosure statement requires the fee specified in 37 C.F.R. §1.17(p), \$180.00, for submission of an information disclosure statement under 37 C.F.R. §1.97(d), and a statement according to 37 C.F.R. §1.97(e).

37 C.F.R. §1.97(e).

(X) (1) Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement.

( ) (2) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c), more than three months prior to the filing of the statement.

Accordingly, this information disclosure statement requires the fee specified in 37 C.F.R. §1.17(p), \$180.00, for submission of an information disclosure statement under 37 C.F.R. §1.97(e).

If this statement crosses in the mail with an office action, or is otherwise not in the indicated category of 37 C.F.R. §1.97, it is respectfully requested that this statement be treated in the next appropriate category and made of record. To the extent required, please treat this paper as a conditional petition for acceptance of the information disclosure statement.


**II**

- (X) No fee is due.
- ( ) The fee specified in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under 37 C.F.R. §1.97(c), 37 C.F.R. § 1.97(d), or 37 C.F.R. §1.97(e) is enclosed, \$180.00.

In the event any fee is required for filing the above-noted document, including any fees required under 37 CFR 1.136 for any necessary Extension of Time to make the filing attached document timely, the Assistant Commissioner is hereby authorized to charge the fee to our Deposit Account No. 50-0612. A duplicate of this page is enclosed.

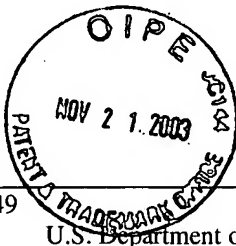
Respectfully submitted,  
SIERRA PATENT GROUP, LTD.

Dated: 18 Nov 2003



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Reg. No.: 43,265

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Form PTO 1449 (Rev. 2-32)				U.S. Department of Commerce Patent and Trademark Office		Atty. Docket No. KEMP-004		Serial No. 10/633,327	
<b>Information Disclosure Statement by Applicant</b>						Applicant: Fasham, et al.			
(Use several sheets if necessary)						Filed: August 1, 2003		Group: 3663	
<b>U.S. Patent Documents</b>									
Init.		Document No.	Date	Name	Class	Subclass	Filing Date		
	1.	5,055,894	10/08/91	Chan	357	19	06/12/90		
	2.	4,903,274	02/20/90	Taneya, et al.	372	48	05/18/88		
<b>Foreign Documents</b>									
<b>Translation</b>									
Init.		Document No.	Date	Country	Class	Subclass	Yes	No	
	3.	EP-0,617,303 A1	09/28/94	Netherlands	G02B 6/42	G02B 6/12	X		
	4.	EP-0,599,213 A1	06/01/94	Germany	G02B 6/42	G02B 6/30		X	
	5.	EP Search Report	03/13/03				X		
	6.	EP Search Report	07/04/03				X		
<b>Other Documents (Including Author, Title, Date, Pertinent Pages, etc.)</b>									
Examiner					Date Considered				
Examiner: Initial if citation considered, whether or not citation is in conference with MPEP 609; Draw line through citation if not conformance and not considered. Include a copy of this form with the next communication to applicant.									



INVESTOR IN PEOPLE

**Application No:** GB 0218038.8  
**Claims searched:** 1-18

**Examiner:** Claire Williams  
**Date of search:** 13 March 2003

## Patents Act 1977 : Search Report under Section 17

### Documents considered to be relevant:

Category	Relevant to claims	Identity of document and passage or figure of particular relevance
X	15 and 17	US 5055894 (Chan) see whole document
A		US 4903274 (Taneya et al) see Figures 9A, 9B and 9C and abstract
A		EP 0617 303 A1 (Akzo Nobel NV) see abstract

### Categories:

X	Document indicating lack of novelty or inventive step	A	Document indicating technological background and/or state of the art.
Y	Document indicating lack of inventive step if combined with one or more other documents of same category.	P	Document published on or after the declared priority date but before the filing date of this invention.
&	Member of the same patent family	E	Patent document published on or after, but with priority date earlier than, the filing date of this application.

### Field of Search:

Search of GB, EP, WO & US patent documents classified in the following areas of the UKC<sup>v</sup>:

G2J, H1K

Worldwide search of patent documents classified in the following areas of the IPC<sup>7</sup>:

G02B, H01L, H01S

The following online and other databases have been used in the preparation of this search report:

EPODOC, JAPIO, TXTE, WPI



INVESTOR IN PEOPLE

Application No: GB 0218038.8  
Claims searched: 26-34

Examiner: Carol Ann McQueen  
Date of search: 4 July 2003

## Patents Act 1977 : Further Search Report under Section 17

### Documents considered to be relevant:

Category	Relevant to claims	Identity of document and passage or figure of particular relevance
A		EP 0599213 A (ANT NACHRICHTENTECH) Abstract and Figure 1.
A		EP 0617303 A1 (AKZO NOBEL) Abstract and Figure 10.
A		US 4903274 (TANEYA ET AL) Abstract and Figure 9A, 9B and 9C..

### Categories:

X Document indicating lack of novelty or inventive step	A Document indicating technological background and/or state of the art.
Y Document indicating lack of inventive step if combined with one or more other documents of same category.	P Document published on or after the declared priority date but before the filing date of this invention.
& Member of the same patent family	E Patent document published on or after, but with priority date earlier than, the filing date of this application.

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Worldwide search of patent documents classified in the following areas of the IPC<sup>7</sup>:

G02B, H01L, H01S

The following online and other databases have been used in the preparation of this search report :

EPODOC, WPI, JAPIO, OPTICS